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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of:

Kendrick W. Kan,

Bruce L. Horn

Title:

**Internet-Based System for Identification,
Measurement and Ranking of Investment
Portfolio Management, and Operation
of a Fund Supermarket, Including "Best
Investor" Managed Funds**

Serial No. 09/836,694

Filed: April 17, 2001

Attorney Docket No.

26592-004REG US

Examiner: James R. Mathews

Telephone: (703) 308-1065

Date of Mailing: September 27, 2001

Certification under 37 C.F.R. § 1.10

Mailing Date: Sept. 27, 2001

Express Mail Label No.:

EL 902 899 042 US

I hereby certify that the Application/correspondence attached hereto is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" under the above Label Number under 37 C.F.R. § 1.10, on the above stated date addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Name: Melissa Harrison

Signature:

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §1.97

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Applicant(s) wish to disclose the following information under rule 97:

REFERENCES

[X] The Applicant(s) wish to make of record the references listed on the attached Form PTO-1449. Copies of the listed references are attached, where required.

[X] The Applicant(s) wish to make of record the references cited in the Search Report for PCT/US01/12540, filed April 17, 2001 (Status: Pending). Where applicable, copies of the prior Information Disclosure Statement and Search Report are attached.

RELATED CASE(S)

[X] Applicant has filed the following related U.S. application:

This Application is based on the following three Provisional Applications, all filed by the

same inventors under the same application title: 60/197,569 filed April 17, 2000; 60/231,058 filed September 8, 2000; and 60/261,885 filed January 16, 2001; and of the following Regular Applications filed by Bruce Horn and Blake Ward: System And Method For Generating Personalized Messages, USSN 09/610,164, filed July 5, 2000; System and Method For Determining and Tracking Performance Metrics For Individual Investors, USSN 09/610,160, filed July 5, 2000; and System And Method For Ranking Individual Investors And Filtering Commentary Based On Ranking, USSN 09/610,163, filed July 5, 2000.

CERTIFICATION

The undersigned certifies that:

☒ [X] No Office Action has been received in this case.

☐ [] The reference(s) disclosed herein were previously disclosed in the original priority application Specification as filed _____, or/and the relevance to the present application described therein.

☐ [] The _____ publications were cited in a communication from a foreign patent office in Applicant's _____ counterpart foreign application.

FEE PAYMENT

☒ [X] It is believed that no fee is due for the papers being filed herewith.

☐ [] Enclosed is a check in the amount of \$_____ for the fees due under §1.17(p) for the papers being filed herewith.

☐ [] Please charge Deposit Account No. 04-1699 in the amount of \$_____ for the fees due under §1.17(p) for the papers being filed herewith. A duplicate of this sheet is enclosed.

☒ [X] If the fees as submitted above are not correct or a fee is required, please charge any additional fees, or credit any overpayment, to Deposit Account No. 04-1699. Please reference the Attorney Docket number 26592-004REG US in recording any fee charge made.

Encl: 1449 and 6 References

DATE: September 27, 2001

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Respectfully submitted,

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